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PTO/SB/21 (08-03)

Approved for use through 08/30/2003. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

12

Application Number

09/499,875

Filing Date

02/08/2000

First Named Inventor

Griffey, Richard H.

Art Unit

1639

Examiner Name

My Chau T Tran

Attorney Docket Number

IBIS-0261

RECEIVED
JAN 23 2004
TECH CENTER 1600/2900

ENCLOSURES (Check all that apply)



Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)



Response to Missing Parts/
Incomplete Application



Response to Missing Parts
under 37 CFR 1.52 or 1.53



Drawing(s)



Licensing-related Papers



Petition



Petition to Convert to a



Provisional Application



Power of Attorney, Revocation



Change of Correspondence Address



Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____



After Allowance communication
to Technology Center (TC)



Appeal Communication to Board



of Appeals and Interferences



Appeal Communication to TC



(Appeal Notice, Brief, Reply Brief)



Proprietary Information



Status Letter

Other Enclosure(s) (please
Identify below):

Remarks

Associate Power of Attorney, Copy of Limited Recognition under 37 CFR 10.9(b) enclosed

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
or
Individual name

Mark Patrick Roach, Ph.D

Signature

Mark P. Roach

(limited recognition under 37 C.F.R. Sect. 10.9(b))

Date

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name

Pamela Grooms

Signature

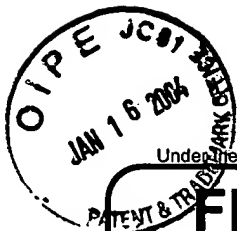
Pamela Grooms

Date

1/16/04

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

(\$)

0

Complete if Known

Application Number

09/499 875

Filing Date

02/08/2000

First Named Inventor

Briffey, Richard H.

Examiner Name

1639

Art Unit

My Chau T Tran

Attorney Docket No.

1B15-0261

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit
Account
Number
Deposit
Account
Name

500252

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	=
Multiple Dependent	-3** =	X	=

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity

Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

0

SUBMITTED BY

Name (Print/Type)

Mark P Roach

Registration No.
(Attorney/Agent)

See attached

(Complete if applicable)

Telephone

760 603-2473

Signature

Mark P. Roach

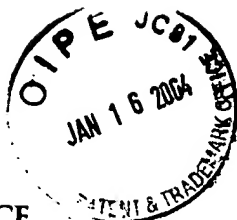
Date

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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RECEIVED
General Counsel
Washington, DC 20231
www.uspto.gov
JAN 22 2004

JUN 6 2003

Mr. Mark Patrick Roach
Isis Pharmaceuticals, Inc.
2292 Faraday Avenue
Carlsbad, CA 92008

CERTIFIED MAIL 7003050000239977563
RETURN RECEIPT REQUESTED

Dear Mr. Roach:

You are to be congratulated for having passed the April 15, 2003 examination in your quest for limited recognition to practice in patent cases before the United States Patent and Trademark Office.

Your application reveals that you are a nonimmigrant who is temporarily residing in the United States. You are present in the United States on an H-1B visa issued to nonimmigrant aliens who are authorized to be employed in the United States by a specific employer, and are subject to employment restrictions described in one or more sections of Chapter 1 of Title 8 of the Code of Federal Regulations. 8 CFR § 247a.12(b). You are authorized to be employed in the United States by only Isis Pharmaceuticals, Inc., in connection with the preparation and prosecution of patent applications. Your authorization for employment is valid to 05/01/2005. Accordingly, you could not accept clients or employment as a registered patent agent or attorney other than the clients of your present employer. Further, "[a]ny unauthorized employment by a nonimmigrant constitutes a failure to maintain status within the meaning of . . ." 8 U.S.C. § 1251(a)(9) and 8 CFR § 214.1(e). Accordingly, as long as you remain in the United States on a visa limiting your employment to a specific employer, you are precluded by the terms of your visa under 8 U.S.C. § 1101(a)(15) from being registered.

In view of the limitations placed upon you by your visa, it would appear that you would not be free, as a registered practitioner, to be employed by other than your present employer, Isis Pharmaceuticals, Inc, or to acquire your own clients. You are not being registered as a patent attorney or patent agent. However, inasmuch as you have passed the examination and demonstrated possession of the required technical qualifications, pursuant to 37 CFR § 10.9(b), you are hereby granted limited recognition through June 6, 2004, to prepare and prosecute patent applications wherein Isis Pharmaceuticals, Inc., is the assignee of record of the entire interest. However, if prior to June 6, 2004, your employer changes, your visa status changes, or you cease to reside in the United States, your limited recognition shall automatically expire.

Limited recognition is granted in maximum increments of one year. If, on June 6, 2004, you continue to legally reside in the United States on an H-1B visa and your employment status has not changed, you may request that your limited recognition be extended. Such a request must be in writing to the Director of Enrollment and Discipline, and should verify your visa status, employment, and your correct address.

Consistent with the terms of 37 CFR § 10.11(a), you are required to promptly notify the Director of any change of address. See 37 CFR § 10.23(c)(14).

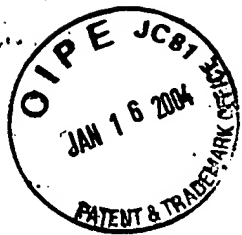
Enclosed is a copy of the original document granting you limited recognition. A copy of this document must be filed in each patent application you prosecute. Once the document has been entered into the file of a patent application, you must make reference to it whenever you correspond with the Office during prosecution of the application. The original document granting limited recognition is on file in the Office of Enrollment and Discipline. If you cease to lawfully reside in the United States, if your visa expires, or you change employers, whichever occurs first, you must promptly file a notice of the same in each patent application in which a copy of the limited recognition has been filed.



Harry I. Mcatz

Director of Enrollment and Discipline

encl: Master Copy of Limited Recognition



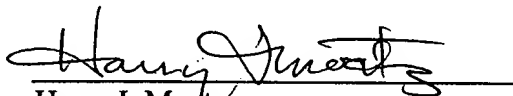
**BEFORE THE OFFICE OF ENROLLMENT AND DISCIPLINE
UNITED STATE PATENT AND TRADEMARK OFFICE**

LIMITED RECOGNITION UNDER 37 CFR § 10.9(b)

Mark Patrick Roach is hereby given limited recognition under 37 CFR § 10.9(b), as an employee of Isis Pharmaceuticals, Inc. to prepare and prosecute patent applications wherein Isis Pharmaceuticals, Inc. is the assignee of record of the entire interest. This limited recognition shall expire on the date appearing below, or when whichever of the following events first occurs prior to the date appearing below: (i) Mark Patrick Roach ceases to lawfully reside in the United States, (ii) Mark Patrick Roach's employment with Isis Pharmaceuticals, Inc. ceases or is terminated, or (iii) Mark Patrick Roach ceases to remain or reside in the United States on an H-1B visa.

This document constitutes proof of such limited recognition. The original of this document is on file in the Office of Enrollment and Discipline of the U.S. Patent and Trademark Office.

Expires: June 6, 2004


Harry I. Moatz
Director of Enrollment and Discipline